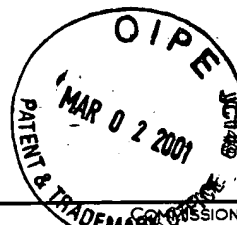




## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/690,243	10/17/2000	Ari Engleberg	36530/RRT/S850

23363  
CHRISTIE, PARKER & HALE, LLP  
350 WEST COLORADO BOULEVARD  
SUITE 500  
PASADENA, CA 91105

## FORMALITIES LETTER



\*OC000000005593499\*

Date Mailed: 12/04/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1062.
  - \$1062 for 59 total claims over 20.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1902.

*A copy of this notice **MUST** be returned with the reply.*

*Theresa D'Amico*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/06/2001 BHABTEV 00000033 09690243  
01 FC:101 710.00 DP  
02 FC:103 1062.00 DP  
03 FC:105 130.00 DP

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DEC 11 2000

Christie, Parker &amp; Hale, LLP



Page 1 of 4

① SAH  
② RRT

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/690,243	10/17/2000	2163	0	36530/RRT/S850	8	79	2

23363

CHRISTIE, PARKER & HALE, LLP  
350 WEST COLORADO BOULEVARD  
SUITE 500  
PASADENA, CA 91105

## FILING RECEIPT



\*OC000000005593498\*

S850:  
36530  
CASE AREMARKS \_\_\_\_\_ DATE DATE \_\_\_\_\_  
DATE DATE \_\_\_\_\_

Date Mailed: 12/04/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) -- Engelberg --

Ari Engleberg, Beverly Hills, CA ;  
Girish Venkat, Los Angeles, CA ;  
Mohan Ananda, Westlake Village, CA ;  
James McDermott, Santa Monica, CA ;

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/160,112 10/18/1999  
WHICH CLAIMS BENEFIT OF 60/160,491 10/20/1999  
WHICH CLAIMS BENEFIT OF 60/160,703 10/20/1999  
WHICH CLAIMS BENEFIT OF 60/160,563 10/20/1999

## Foreign Applications

If Required, Foreign Filing License Granted 12/02/2000

## Title

Method and apparatus for on-line value-bearing item system

## Preliminary Class

705

Data entry by : OKON, THERESA

Team : 2800

Date: 12/04/2000



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.


Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



*I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231 on February 26, 2001.*

  
Diane Zynn

Applicant : Ari Engelberg, et al.  
Application No. : 09/690,243  
Filed : October 17, 2000  
Title : METHOD AND APPARATUS FOR ON-LINE  
VALUE-BEARING ITEM SYSTEM  
Grp./Div. : 2163  
Examiner : To be assigned  
Docket No. : 36530/RRT/S850

**LETTER IN RESPONSE TO NOTICE TO  
FILE MISSING PARTS OF APPLICATION**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

P.O. Box 7068  
Pasadena, CA 91109-7068  
February 26, 2001

Commissioner:

In response to the Notice to File Missing Parts of Application dated **December 4, 2000**, enclosed are:

1. Copy of Notice to File Missing Parts of Application.
2. A Petition for Extension of Time.
3. Extension of Time fee of \$110.
4. Check for \$1,902, including the filing fee (\$1,772) and surcharge (\$130) for a large entity.
5. Executed Declaration and Power of Attorney.
6. An Assignment of the invention with the Recordation Form Cover Sheet in a separate envelope addressed to Commissioner of Patents and Trademarks, Box Assignments Washington, D.C. 20231, along with our check for \$40.00.

**Application No. 09/690,243**

The Commissioner is hereby authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the **pendency** of this application to Deposit Account No. 03-1728. Please show our docket number with any charge or credit to our Deposit Account. **A copy of this letter is enclosed.**

Respectfully submitted,

CHRISTIE, PARKER & HALE, LLP



By

\_\_\_\_\_  
Raymond R. Tabandeh  
Reg. No. 43,945  
626/795-9900

RRT/dsz

Enclosures

DSZ PAS329986.1-\*2/26/01 9:10 AM



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231 on February 26, 2001.*

*Diane Zynn*  
Diane Zynn

Applicant : Ari Engelberg, et al.  
Application No. : 09/690,243  
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Title : METHOD AND APPARATUS FOR ON-LINE  
VALUE-BEARING ITEM SYSTEM  
Grp./Div. : 2163  
Examiner : To be assigned  
Docket No. : 36530/RRT/S850

LETTER TO CORRECT FILING RECEIPT

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

P.O. Box 7068  
Pasadena, CA 91109-7068  
February 26, 2001

Commissioner:

When proofing the Filing Receipt for the above-identified application, we located the following error:

Please change the first-named inventor's name from "Engleberg" to -- Engelberg --.

Please forward a Corrected Filing Receipt to the undersigned.

Respectfully submitted,  
CHRISTIE, PARKER & HALE, LLP

By

Raymond R. Tabandeh  
Reg. No. 43,945  
(626) 795-9900

RRT/dsz

Enclosure: Copy of Filing Receipt

DSZ PAS329991.1.\*-2/26/01 10:06 AM